

**Notice under Sections 204 and 205 of the
Securities and Futures Ordinance
Cap.571 ("SFO")**

It appears to the Securities and Futures Commission ("**Commission**"), for the reasons set out in the Statement of Reasons of this date, that the Commission should exercise the powers conferred by sections 204 and 205 of the SFO.

THE COMMISSION GIVES NOTICE THAT:

Except with the Commission's prior written consent, such consent to be granted by any two Executive Directors of the Commission:

1. Under sections 204(1)(a) and 205(1) of the SFO, **AMC Wanhai Securities Limited** (the "**Specified Corporation**") is, in respect of the following client accounts:

Account number	Cash balance as at 31 October 2020	Securities balance as at 31 October 2020
1. C281056	HK\$9,966,994.73	Nil
2. C321012	HK\$8,972,593.71	Nil
3. C281055	HK\$11,131,707.50	Nil
4. C321011	HK\$7,883,664.36	Nil
5. C281059	HK\$32,203,798.66	Nil

(hereinafter collectively referred to as the "**Accounts**")

- (a) prohibited from disposing of or dealing with, or assisting, counselling or procuring another person to dispose of or deal with, any assets in any way in the 1st, 2nd, 3rd, 4th and 5th accounts (namely, C281056, C321012, C281055, C321011 and C281059) **up to the value of** HK\$10,304,594.08, HK\$8,205,791.76, HK\$10,620,688.53, HK\$7,881,024.38 and HK\$32,216,014.60 respectively, including:
 - (i) entering into transactions in respect of any securities;
 - (ii) disposing of or dealing with any cash on the instructions of any authorized person of the Accounts or by any person acting on their behalf; and/or
 - (iii) assisting another person to dispose of any relevant property or deal with any relevant property in a specified manner; and
- (b) required to notify the Commission immediately upon receipt of any instruction from any authorized person of the Accounts, and/or by any person acting on his/her behalf, regarding:
 - (i) any request to withdraw or transfer any cash from the Accounts; and/or
 - (ii) any request to dispose of or deal with any cash which concern those assets subject to the prohibition in (a) above.

2. Under section 217 of the SFO, an application may be made to the Securities and Futures Appeals Tribunal for a review of the Commission's decision to impose the prohibitions and/or requirements specified in this Notice. Such application must be made within twenty-one days after the day on which this Notice is served on the Specified Corporation. Further, under section 208 of the SFO, the Specified Corporation or a person affected by the prohibitions and/or requirements may apply to the Commission for the prohibitions and/or requirements to be withdrawn, substituted or varied.

This Notice takes effect at the time of service upon the Specified Corporation.

Dated this 26 day of January 2021

For and on behalf of the Commission

Ashley Alder
Chief Executive Officer

**Notice under Sections 204 and 205 of the
Securities and Futures Ordinance
Cap.571 (“SFO”)**

It appears to the Securities and Futures Commission (“**Commission**”), for the reasons set out in the Statement of Reasons of this date, that the Commission should exercise the powers conferred by sections 204 and 205 of the SFO.

THE COMMISSION GIVES NOTICE THAT:

Except with the Commission’s prior written consent, such consent to be granted by any two Executive Directors of the Commission:

1. Under sections 204(1)(a) and 205(1) of the SFO, **Eddid Securities and Futures Limited** (the “**Specified Corporation**”) is, in respect of the following client account (the “**Account**”):

Account number	Cash balance as at 31 October 2020	Securities balance as at 31 October 2020
810451110	HK\$10,375,723.95	HK\$3,002,000

- (a) prohibited from disposing of or dealing with, or assisting, counselling or procuring another person to dispose of or deal with, any assets in any way in the Account up to the value of HK\$11,274,304.39, including:
- (i) entering into transactions in respect of any securities;
 - (ii) processing any withdrawals or transfers of securities and/or cash or any transfers of money arising from the disposal of securities;
 - (iii) disposing of or dealing with any securities and/or cash on the instructions of any authorized person of the Account or by any person acting on their behalf; and/or
 - (iv) assisting another person to dispose of any relevant property or deal with any relevant property in a specified manner; and
- (b) required to notify the Commission immediately upon receipt of any instruction from any authorized person of the Account, and/or by any person acting on his/her behalf, regarding:
- (i) any request to withdraw or transfer any securities and/or cash from the Account; and/or
 - (ii) any request to dispose of or deal with any securities and/or cash which concern those assets subject to the prohibition in (a) above.
2. Under section 217 of the SFO, an application may be made to the Securities and Futures Appeals Tribunal for a review of the Commission’s decision to impose the prohibitions and/or requirements specified in this Notice. Such application must be

made within twenty-one days after the day on which this Notice is served on the Specified Corporation. Further, under section 208 of the SFO, the Specified Corporation or a person affected by the prohibitions and/or requirements may apply to the Commission for the prohibitions and/or requirements to be withdrawn, substituted or varied.

This Notice takes effect at the time of service upon the Specified Corporation.

Dated this 26 day of January 2021

For and on behalf of the Commission

Ashley Alder
Chief Executive Officer

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Cap.571 (“SFO”)**

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THE COMMISSION GIVES NOTICE THAT:

Except with the Commission’s prior written consent, such consent to be granted by any two Executive Directors of the Commission:

1. Under sections 204(1)(a) and 205(1) of the SFO, **Freeman Securities Limited** (the “**Specified Corporation**”) is, in respect of the following client account (the “**Account**”):

Account number	Cash balance as at 31 October 2020	Securities balance as at 31 October 2020
1018562	HK\$24,845.86	HK\$12,384,000

- (a) prohibited from disposing of or dealing with, or assisting, counselling or procuring another person to dispose of or deal with, any assets in any way in the Account up to the value of HK\$11,370,419.85, including:
 - (i) entering into transactions in respect of any securities;
 - (ii) processing any withdrawals or transfers of securities and/or cash or any transfers of money arising from the disposal of securities;
 - (iii) disposing of or dealing with any securities and/or cash on the instructions of any authorized person of the Account or by any person acting on their behalf; and/or
 - (iv) assisting another person to dispose of any relevant property or deal with any relevant property in a specified manner; and
 - (b) required to notify the Commission immediately upon receipt of any instruction from any authorized person of the Account, and/or by any person acting on his/her behalf, regarding:
 - (i) any request to withdraw or transfer any securities and/or cash from the Account; and/or
 - (ii) any request to dispose of or deal with any securities and/or cash which concern those assets subject to the prohibition in (a) above.
2. Under section 217 of the SFO, an application may be made to the Securities and Futures Appeals Tribunal for a review of the Commission’s decision to impose the prohibitions and/or requirements specified in this Notice. Such application must be

made within twenty-one days after the day on which this Notice is served on the Specified Corporation. Further, under section 208 of the SFO, the Specified Corporation or a person affected by the prohibitions and/or requirements may apply to the Commission for the prohibitions and/or requirements to be withdrawn, substituted or varied.

This Notice takes effect at the time of service upon the Specified Corporation.

Dated this 26 day of January 2021

For and on behalf of the Commission

Ashley Alder
Chief Executive Officer

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THE COMMISSION GIVES NOTICE THAT:

Except with the Commission’s prior written consent, such consent to be granted by any two Executive Directors of the Commission:

1. Under sections 204(1)(a) and 205(1) of the SFO, **Realord Asia Pacific Securities Limited** (the “**Specified Corporation**”) is, in respect of the following client accounts:

Account number	Cash balance as at 31 October 2020	Securities balance as at 31 October 2020
1. 200070	HK\$11,281,944.88	HK\$102,960
2. 200067	HK\$12,611,500.64	Nil

(hereinafter collectively referred to as the “**Accounts**”)

- (a) prohibited from disposing of or dealing with, or assisting, counselling or procuring another person to dispose of or deal with, any assets in any way in the 1st and 2nd accounts (namely, 200070 and 200067) **up to the value of HK\$13,657,475.98 and HK\$14,230,237.35 respectively**, including:
- (i) entering into transactions in respect of any securities;
 - (ii) processing any withdrawals or transfers of securities and/or cash or any transfers of money arising from the disposal of securities;
 - (iii) disposing of or dealing with any securities and/or cash on the instructions of any authorized person of the Accounts or by any person acting on their behalf; and/or
 - (iv) assisting another person to dispose of any relevant property or deal with any relevant property in a specified manner; and
- (b) required to notify the Commission immediately upon receipt of any instruction from any authorized person of the Accounts, and/or by any person acting on his/her behalf, regarding:
- (i) any request to withdraw or transfer any securities and/or cash from the Accounts; and/or
 - (ii) any request to dispose of or deal with any securities and/or cash which concern those assets subject to the prohibition in (a) above.

2. Under section 217 of the SFO, an application may be made to the Securities and Futures Appeals Tribunal for a review of the Commission's decision to impose the prohibitions and/or requirements specified in this Notice. Such application must be made within twenty-one days after the day on which this Notice is served on the Specified Corporation. Further, under section 208 of the SFO, the Specified Corporation or a person affected by the prohibitions and/or requirements may apply to the Commission for the prohibitions and/or requirements to be withdrawn, substituted or varied.

This Notice takes effect at the time of service upon the Specified Corporation.

Dated this 26 day of January 2021

For and on behalf of the Commission

Ashley Alder
Chief Executive Officer

**Notice under Sections 204 and 205 of the
Securities and Futures Ordinance
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It appears to the Securities and Futures Commission (“**Commission**”), for the reasons set out in the Statement of Reasons of this date, that the Commission should exercise the powers conferred by sections 204 and 205 of the SFO.

THE COMMISSION GIVES NOTICE THAT:

Except with the Commission’s prior written consent, such consent to be granted by any two Executive Directors of the Commission:

1. Under sections 204(1)(a) and 205(1) of the SFO, **Solomon JFZ (Asia) Holdings Limited** (the “**Specified Corporation**”) is, in respect of the following client accounts:

Account number	Cash balance as at 31 October 2020	Securities balance as at 31 October 2020
1. 00001850001	HK\$10,264,832.22	HK\$3,193,840
2. 00003720001	HK\$4,680,258.42	HK\$21,550,010
3. 00001320001	HK\$5,054,215.36	HK\$6,495,500

(hereinafter collectively referred to as the “**Accounts**”)

- (a) prohibited from disposing of or dealing with, or assisting, counselling or procuring another person to dispose of or deal with, any assets in any way in the Accounts **up to the value of** HK\$12,196,650.76, HK\$10,902,213.62 and HK\$10,919,251.71 respectively, including:
 - (i) entering into transactions in respect of any securities;
 - (ii) processing any withdrawals or transfers of securities and/or cash or any transfers of money arising from the disposal of securities;
 - (iii) disposing of or dealing with any securities and/or cash on the instructions of any authorized person of the Accounts or any person acting on their behalf; and/or
 - (iv) assisting another person to dispose of any relevant property or deal with any relevant property in a specified manner; and
- (b) required to notify the Commission immediately upon receipt of any instruction from any authorized person of the Accounts, and/or by any person acting on his/her behalf, regarding:
 - (i) any request to withdraw or transfer any securities and/or cash from the Accounts; and/or

- (ii) any request to dispose of or deal with any securities and/or cash which concern those assets subject to the prohibition in (a) above.
2. Under section 217 of the SFO, an application may be made to the Securities and Futures Appeals Tribunal for a review of the Commission's decision to impose the prohibitions and/or requirements specified in this Notice. Such application must be made within twenty-one days after the day on which this Notice is served on the Specified Corporation. Further, under section 208 of the SFO, the Specified Corporation or a person affected by the prohibitions and/or requirements may apply to the Commission for the prohibitions and/or requirements to be withdrawn, substituted or varied.

This Notice takes effect at the time of service upon the Specified Corporation.

Dated this 26 day of January 2021

For and on behalf of the Commission

Ashley Alder
Chief Executive Officer